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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Complete if Known</b>	
				Application Number	09/811,081
Sheet 1 of 11				Filing Date	March 16, 2001
				First Named Inventor	Thomas W. Mossberg
				Group Art Unit	2872
				Examiner Name	AMARI, ALESSANDRO
				Attorney Docket Number	5455P001

U.S. PATENT DOCUMENTS

Exam. Initials	Cite No.	Document Number	Date	Name	Class	Sub-class	Filing Date (if appropriate)
ava	1	4,140,362	02/20/79	Tien	359	19	
ava	2	4,387,955	06/14/83	Ludman et al.	385	37	
ava	3	4,660,934	04/28/87	Akiba et al.	430	5	
ava	4	4,740,951	04/26/88	Lizet et al.	370	3	
ava	5	4,743,083	05/10/88	Schimpe	385	37	
ava	6	4,746,186	05/24/88	Nicia	385	14	
ava	7	4,773,063	09/20/88	Hunsperger et al.	359	130	
ava	8	4,786,133	11/22/88	Gidon et al.	385	37	
ava	9	4,824,193	04/25/89	Maeda et al.	359	34	
ava	10	4,834,474	05/30/89	George et al.	359	8	
ava	11	4,923,271	05/08/90	Henry et al.	359	130	
ava	12	4,938,553	07/03/90	Maerz et al.	385	14	
ava	13	5,107,359	04/21/92	Ohuchida	359	124	
ava	14	5,195,161	03/16/93	Adar et al.	385	129	
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ava	16	5,450,511	09/12/95	Dragone	385	37	
ava	17	5,768,450	06/16/98	Bhagavatula	385	24	
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ava	19	5,830,622	11/03/98	Canning et al.	430	32	
ava	20	6,011,884	01/04/00	Dueck et al.	385	24	

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Exam. Initials	Cite No.	Document Number	Date	Country	Class	Sub-class	Translation Yes	No

Examiner Signature	Alessandro Amari	Date Considered	3/21/03
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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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of

11

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Application Number	09/811,081
Filing Date	March 16, 2001
First Named Inventor	Thomas W. Mossberg
Group Art Unit	2872
Examiner Name	AMARI
Attorney Docket Number	5455P001

## U.S. PATENT DOCUMENTS

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<b>Substitute for form 1449A/PTO</b> <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b>				<b>Complete if Known</b>	
				Application Number	09/811,081
<b>Sheet</b> <b>3</b> <b>of</b> <b>11</b>				Filing Date	March 16, 2001
				First Named Inventor	Thomas W. Mossberg
				Group Art Unit	2873
				Examiner Name	AMARI
				Attorney Docket Number	5455P001

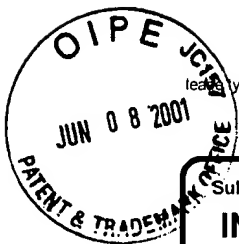
OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)

Exam. Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
AM	1	B.A. CAPRON, ET AL., Design and Performance of a Multiple Element Slab Waveguide Spectrograph for Multimode Fiber-Optic WDM Systems., Journal of LightWave Technology, Vol. 11 No. 12., December 1993., IEEE Log No.9211169, Pgs. 2009-2014
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AM	3	A. GRUNNET-JEPSEN, ET AL., Fibre Bragg grating based spectral encoder/decoder for lightwave CDMA. Electronics Letters Vol. 35., No. 13., June 24th, 1999., Pgs. 1096-1097
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AM	5	C.K. MADSEN, ET AL., Planar Waveguide Optical Spectrum Analyzer Using a UV-Induced Grating, IEEE Journal of selected topics in quantum electronics, Vol. 4, No. 6, November 1998, Pgs. 925-929
AM	6	EMILIO GINI, ET AL., Polarization Independent InP WDM Multiplexer/Demultiplexer Module., Journal of Lightwave Technology, Vol. 16, No. 4., April 1998, Pgs. 625-630.
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AM	8	K.A. MCGREER., Tunable Planar Concave Grating Demultiplexer., IEEE Photonics Technology Letters, Vol. 8. No. 4, April 1996., Pgs. 551-553.
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AM	11	HIROKAZU TAKENOUCI, ET AL., Analysis of optical-signal processing using an arrayed-waveguide grating., Optics Express, Vol. 6, No. 6, March 13, 2000., Pgs. 124-135.
AM	12	A.GRUNNET-JEPSEN, ET AL., Demonstration of All-Fiber Sparse Lightwave CDMA Based on Temporal Phase Encoding., Photonics Technology Letters, Vol. 11 No. 10, Oct. 1999.

Examiner Signature	<i>Alexander V. Amari</i>	Date Considered	3/21/03
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				Examiner Name	AMVRI
Sheet	4	of	11	Attorney Docket Number	5455P001

OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)

Exam. Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
AVH	13	RANDALL BABBITT, ET AL., Optical waveform processing and routing with structured surface gratings., Optics Communications 148, 1998., Pgs. 23-26.
AVH	14	GERALD A. BRIGHAM, ET AL., Analysis of scattering from large planar gratings of compliant cylindrical shells., Acoust Society of America, Vol. 61, No. 1, January 1977. pgs. 48-59.
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AVH	16	AASMUND Sv. SUDBO, ET AL., Reflectivity of Integrated Optical Filters Based on Elliptic Bragg Reflectors., Journal of Lightwave Technology Vol. 8, No. 6, June 1990. Pgs. 998-1006.
AVH	17	CHARLES H. HENRY., Four-Channel Wavelength Division Multiplexers and Bandpass Filters Based on Elliptical Bragg Reflectors., Journal of Lightwave Technology Vol. 8. No. 5, May 1990 IEEE., Pgs. 748-755.
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AVH	23	R. MAGNUSSON, ET AL., New Principle for optical filters., American Insitute of Physics 1992., Appl. Phys. Lett. Vol. 61, No. 9., August 31, 1992., Pgs. 1022-1024.
AVH	24	S.M. OJHA, ET AL., Demonstration of low loss integrated InGaAsP/InP demultiplexer device with low polarisation sensitivity., Electronics Letter Vol. 29, No. 9., April 29, 1993.

Examiner Signature	<i>Alexander Amari</i>	Date Considered	3/21/03
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ATTY. DOCKET NO.

**05455.P001**

SERIAL NO.

**09/811,081**

APPLICANT

**Thomas W. Mossberg**

FILING DATE

**03/16/01**

GROUP

**2872**

## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

<i>ana</i>	LIFENG LI., Analysis of planar waveguide grating couplers with double surface corrugations of identical period., 1995 Elsevier Science B.V., Optics Communications 114., Pgs. 406-412.
<i>ana</i>	J.B.D. SOOLE, ET AL., High speed monolithic WDM detector for 1.5 um fibre band., Electronics Letters Vol. 31., No.15., July 20, 1995., Pgs. 1276-1277.
<i>ana</i>	J.T. RANTALA, ET AL., Sol-gel hybrid glass diffractive elements by direct electron-beam exposure., Electronics Letters Vol. 34., No. 5., March 5, 1998., Pgs. 455-456.

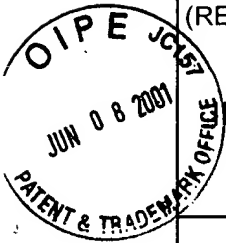
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## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

<i>AVU</i>	M.A. COWIN, ET AL., Compact polymeric wavelength division multiplexer., Electronics Letters Vol. 35., No. 13., June 24, 1999., Pgs. 1074-1076.
<i>AV4</i>	J. CANNING, ET AL., Grating structures with phase mask period in silica-on-silicon planar waveguides., 1999 Elsevier Science B.V., Optics Communications 171., Pgs. 213-217.
<i>AV4</i>	P.K. TIEN, ET AL., Use of concentric-arc grating as a thin-film spectrograph for guided waves., 1980 American Institute of Physics., Pgs. 524-525.

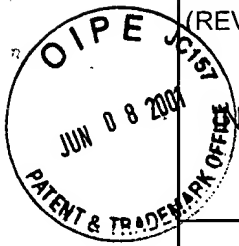
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## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

<i>AK</i>	<b>AKIMASA KANEKO, ET AL., Design and Applications of Silica-Based Planar Lightwave Circuits., IEEE Journal of selected topics in quantum electronics Vol. 5., No. 5., September/October 1999., Pgs. 1227-1236.</b>
<i>AK</i>	<b>Z. J. SUN, ET AL., Demultiplexer with 120 channels and 0.29-nm channel spacing., IEEE Photonics Technology Letters, Vol. 10, No. 1., January 1998., Pgs. 90-92.</b>
<i>AK</i>	<b>C.K. MADSEN, ET AL., Planar waveguide optical spectrum analyzer using a UV-induced grating., IEEE Journal of selected topics in quantum electronics., Vol.4, No. 6., November/December 1998., Pgs. 925-929.</b>

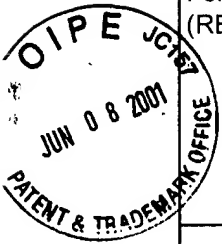
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<i>AV4</i>	IVAN A. AVRUTSKY, ET AL., Multiwavelength diffraction and apodization using binary superimposed gratings., IEEE Photonics Technology Letters, Vol. 10, No. 6, June 1998., Pgs. 839-841.
<i>am</i>	A.T. ALAVIE, ET AL., A Multiplexed bragg grating fiber laser sensor system., IEEE Photonics Technology Letters, Vol. 5, No. 9, September 1993., Pgs. 1112-1114.
<i>AV4</i>	XIAOLI FU, ET AL., 1x8 supergrating wavelength-division demultiplexer in a silica planar waveguide., 1997 Optical Society of America., Optics Letters Vol. 22, No. 21., Pgs. 1627-1629

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*Abraham Amur*

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ava	LOUAY ELDADA, ET AL., Dispersive properties of planar polymer bragg gratings., IEEE Photonics Technology Letters, Vol. 12, No. 7, July 7, 2000., Pgs.819-821.
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Alexander Arner

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avg	TETSUO MIYA, Silica-based planar lightwave circuits: passive and thermally active devices., IEEE Journal of selected topics in quantum electronics, Vol. 6, No. 1, January/February 2000., Pgs. 38-45.
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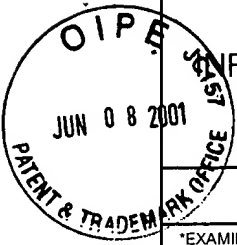
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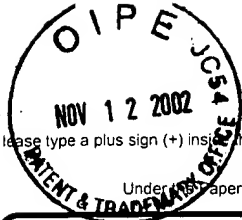
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Sheet	2	of	2

OTHER ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
AM	6	SHOGO URA, ET AL., "Integrated Optic Wavelength Demultiplexer Using a Coplanar Grating Lens", Applied Optics, March 20, 1990, pp. 1369-1373, Vol. 29, No. 9, Optical Society of America, New York, USA	
CWA	7	RAY T. CHEN, ET AL., "Ten Channel Single-Mode Wavelength Division Demultiplexer in Near IR", Integrated Optical Circuits, September 3, 1991, pp. 134-142, Vol. 1583, The International Society for Optical Engineering, Boston, Massachusetts, USA	
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CWA	9	T. W. MOSSBERG, "Planar Holographic Optical Processing Devices", Optics Letters, April 1, 2001, pp. 414-416, Vol. 26, No. 7, Optical Society of America, USA	

Examiner Signature	<i>Alessandro Amari</i>	Date Considered	3/21/03
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